

08/10/01

J1048 U.S. PTO

Please type a sign (+) inside this box → ☐

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	PA106
First Inventor	Rosen et al.
Title	Nucleic Acids, Proteins and Antibodies
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages : 635]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets]
5. ☒ Oath or Declaration [Total Pages 2]
 - a. ☒ Newly executed (original)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76 [2 pages].

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☒ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☒ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper [Total Pages :]
 - c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/ Form PTO/SB/08
☐ Copies of Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Transmittal and Submission Under 37 C.F.R. §§ 1.824 and 1.52(e)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: /
Prior application information: Examiner: Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

18. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label 22195 or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Michele M. Wales

Registration No. (Attorney/Agent)

43,975

SIGNATURE

Michele M. Wales

Date

8/10/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

FEE TRANSMITTAL for FY 2001				Complete if Known																																																																																																																																																																																																													
<i>Patent fees are subject to annual revision.</i>																																																																																																																																																																																																																	
		Application Number				Unassigned																																																																																																																																																																																																											
		Filing Date				Herewith																																																																																																																																																																																																											
		First Named Inventor				Rosen et al.																																																																																																																																																																																																											
		Examiner Name				Unassigned																																																																																																																																																																																																											
		Group Art Unit				Unassigned																																																																																																																																																																																																											
Total amount of payment		\$1,132.00		Attorney Docket Number		PA106																																																																																																																																																																																																											
METHOD OF PAYMENT (CHECK ONE)				FEE CALCULATION (CONTINUED)																																																																																																																																																																																																													
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to: Deposit Account Number 08-3425 Deposit Account Name Human Genome Sciences, Inc. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 08-3425				3. ADDITIONAL FEES <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee Paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing of Oath or Declaration</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920</td><td>112</td><td>920</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive -unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>481</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>190</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify):</td><td></td></tr> <tr><td colspan="5">Other fee (specify):</td><td></td></tr> <tr><td colspan="5">*Reduced by Basic Filing Fee Paid</td><td></td></tr> <tr> <td colspan="4" style="text-align: right;">Subtotal (3)</td> <td colspan="2" style="text-align: right;">\$0.00</td> </tr> </tbody> </table>				Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	105	130	205	65	Surcharge - late filing of Oath or Declaration		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920	112	920	Requesting publication of SIR prior to Examiner action		113	1,840	113	1,840	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive -unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	180	126	180	Submission of Information Disclosure Statement		581	40	481	40	Recording each patent assignment per property (times number of properties)		146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	190	169	900	Request for expedited examination of a design application		Other fee (specify):						Other fee (specify):						*Reduced by Basic Filing Fee Paid						Subtotal (3)				\$0.00	
Large Entity		Small Entity		Fee Description	Fee Paid																																																																																																																																																																																																												
Fee Code	Fee (\$)	Fee Code	Fee (\$)																																																																																																																																																																																																														
105	130	205	65	Surcharge - late filing of Oath or Declaration																																																																																																																																																																																																													
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																													
139	130	139	130	Non-English specification																																																																																																																																																																																																													
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																																													
112	920	112	920	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																													
113	1,840	113	1,840	Requesting publication of SIR after Examiner action																																																																																																																																																																																																													
115	110	215	55	Extension for reply within first month																																																																																																																																																																																																													
116	390	216	195	Extension for reply within second month																																																																																																																																																																																																													
117	890	217	445	Extension for reply within third month																																																																																																																																																																																																													
118	1,390	218	695	Extension for reply within fourth month																																																																																																																																																																																																													
128	1,890	228	945	Extension for reply within fifth month																																																																																																																																																																																																													
119	310	219	155	Notice of Appeal																																																																																																																																																																																																													
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																																																													
121	270	221	135	Request for oral hearing																																																																																																																																																																																																													
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																													
140	110	240	55	Petition to revive -unavoidable																																																																																																																																																																																																													
141	1,240	241	620	Petition to revive - unintentional																																																																																																																																																																																																													
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																																																													
143	440	243	220	Design issue fee																																																																																																																																																																																																													
144	600	244	300	Plant issue fee																																																																																																																																																																																																													
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																													
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																													
126	180	126	180	Submission of Information Disclosure Statement																																																																																																																																																																																																													
581	40	481	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																													
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																													
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																													
179	710	279	355	Request for Continued Examination (RCE)																																																																																																																																																																																																													
169	190	169	900	Request for expedited examination of a design application																																																																																																																																																																																																													
Other fee (specify):																																																																																																																																																																																																																	
Other fee (specify):																																																																																																																																																																																																																	
*Reduced by Basic Filing Fee Paid																																																																																																																																																																																																																	
Subtotal (3)				\$0.00																																																																																																																																																																																																													
2. EXTRA CLAIM FEES <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Total claims</th> <th>Extra</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>24</td> <td>- 20**</td> <td>4</td> <td>\$18.00</td> </tr> <tr> <td>Indep. claims</td> <td>4</td> <td>- 3**</td> <td>\$80.00</td> </tr> <tr> <td>Multiple Dependent</td> <td>1</td> <td>1</td> <td>\$270.00</td> </tr> </tbody> </table>				Total claims	Extra	Fee from below	Fee Paid	24	- 20**	4	\$18.00	Indep. claims	4	- 3**	\$80.00	Multiple Dependent	1	1	\$270.00	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim</td><td></td></tr> <tr><td>108</td><td>80</td><td>209</td><td>40</td><td>**Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>***Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="5" style="text-align: right;">Subtotal (2)</td> <td style="text-align: right;">\$422.00</td> </tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple dependent claim		108	80	209	40	**Reissue independent claims over original patent		110	18	210	9	***Reissue claims in excess of 20 and over original patent		Subtotal (2)					\$422.00																																																																																																																																																
Total claims	Extra	Fee from below	Fee Paid																																																																																																																																																																																																														
24	- 20**	4	\$18.00																																																																																																																																																																																																														
Indep. claims	4	- 3**	\$80.00																																																																																																																																																																																																														
Multiple Dependent	1	1	\$270.00																																																																																																																																																																																																														
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																												
103	18	203	9	Claims in excess of 20																																																																																																																																																																																																													
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																																													
104	270	204	135	Multiple dependent claim																																																																																																																																																																																																													
108	80	209	40	**Reissue independent claims over original patent																																																																																																																																																																																																													
110	18	210	9	***Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																													
Subtotal (2)					\$422.00																																																																																																																																																																																																												
Submitted By				Complete (if applicable)																																																																																																																																																																																																													
Name (Print/Type) Michele M. Wales				Registration No.: 43,975		Telephone (301) 610-5772																																																																																																																																																																																																											
Signature: <i>Michele M. Wales</i>						Date 8/10/01																																																																																																																																																																																																											

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Rosen et al.

Attorney Docket No.: PA106

Application Serial No.: Unassigned

Art Unit: Unassigned

Filed: Herewith

Examiner: Unassigned

Title: Nucleic Acids, Proteins and Antibodies

TRANSMITTAL AND SUBMISSION UNDER
37 C.F.R. §§ 1.824 and 1.52(e)

Commissioner For Patents
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. §§ 1.821(e) and 1.824, Applicants submit herewith a Sequence Listing satisfying the computer-readable format requirements on a compact disc (CD-R) labeled "CRF." Applicants submit concurrently herewith a Statement Under 37 C.F.R. § 1.821.

Additionally, in accordance with 37 C.F.R. §§ 1.52(e), 1.821, and 1.823, Applicants submit herewith a Sequence Listing as an electronic document on two identical compact discs (CD-Rs). Applicants certify under 37 C.F.R. §1.52(e)(4) that these two compact discs, labeled "Copy 1" and "Copy 2," are identical. These compact discs, formatted for an IBM-PC machine and compatible with the MS-Windows operating system, contain the following file:

1. Name of File: PA106SEQLIST.txt
2. Size: 3,120,732 bytes
3. Date of Creation: August 8, 2001

Respectfully submitted,

Dated: Aug 10, 2001

Michele M. Wales
Michele M. Wales (Reg. No. 43,975)
Attorney for Applicants

Human Genome Sciences, Inc.
9410 Key West Avenue
Rockville, MD 20850
Telephone: (301) 610-5772
Fax: (301) 309-8439

MMW/CCB/ba

Enclosures

[illegible]

Attorney Docket No.: PA106

Art Unit: Unassigned

Examiner: Unassigned

Title: Nucleic Acids, Proteins and Antibodies


Commissioner For Patents
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. § 1.821(f), Applicants hereby certify that the Sequence Listing information recorded in computer readable form and submitted herewith is identical to the written (on compact disc) Sequence Listing submitted herewith.

Respectfully submitted,

Dated: AUG 10, 2001


Michele M. Wales (Reg. No. 43,975)
Attorney for Applicants

Human Genome Sciences, Inc.
9410 Key West Avenue
Rockville, MD 20850
Telephone: (301) 610-5772

MMW/CCB/ba